

**Trial Courts of Arizona  
Maricopa County**

**Alternative Dispute Resolution (ADR)**

# **Civil Settlement Conference Training Manual**

**(ELECTRONIC COPY AVAILABLE ON  
<http://www.superiorcourt.maricopa.gov/adr/>)  
Click on Judges *Pro Tempore* link**

**3<sup>rd</sup> Floor, Central Court Building  
201 West Jefferson  
Phoenix, Arizona 85003  
602-506-7884  
FAX: 602-506-5836**

**(COMPILED BY MEL DAILEY, FC & CV SETTLEMENT CONFERENCE  
PROGRAMS ADMINISTRATOR)**

**CURRENT AS OF DECEMBER 15, 2005**

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 <b>*THESE FORMS CAN BE DOWNLOADED FROM THE ADR WEBSITE. Click on Judges <i>Pro Tempore</i> link to access the forms.</b>	

<http://www.superiorcourt.maricopa.gov/adr/>

**ALTERNATIVE DISPUTE RESOLUTION  
CIVIL SETTLEMENT CONFERENCE  
ADMINISTRATIVE PROCEDURES FOR JUDGES *PRO TEMPORE* (JPTs)**

- **Cases are referred to ADR via minute entry or Civil Settlement Conference Request Sheet**
  1. Upon receipt of referrals, cases are sorted and tickled 90 days prior to the deadlines set by judges. Cases without trial dates are tickled 60-90 days upon receipt (depending on the volume of referrals)
  2. Cases are tickled every first business day of the month--this is when ADR appoints JPTs (approximately 80-90 cases are tickled for each rotation)
- **Appointment of JPTs**
  1. Random appointment by using a database with JPTs sorted by date of appointment
  2. JPT with the earliest date of appointment gets appointed first
  3. JPTs on break (i.e., medical leave, trials) are skipped and are activated on the list when they become available
  4. Rotation varies, depending on the number of pending cases @ ADR
  5. Rotation is approximately every 45 days, but when pending cases start increasing in volume, appointment is between 30-35 days
  6. JPTs may recuse themselves via fax, memo, e-mail, or letter. Upon recusal, a new case will be assigned.
- **ADR will provide each Judge *Pro Tempore* a packet containing the following items:**
  1. Copy of Judge *Pro Tempore* appointment minute entry
  2. Case Card: Provides some information about the case
  3. Certificate of Pro Tem Hours: Judge *Pro Tempore* fills out and sends to ADR, along with the Civil Settlement Conference Report
  4. Civil Settlement Conference Program Evaluation of Settlement Conference (In Pre-Addressed Stamped Envelope): Judge *Pro Tempore* is requested to distribute evaluation forms to counsel/parties
  5. Civil Settlement Conference Report (with a pre-addressed stamped envelope)
    - To be filled out by the Judge *Pro Tempore* upon conclusion of the settlement conference
    - When parties reach a FULL, PARTIAL, or NO SETTLEMENT
    - When parties settle prior, when parties decide to go to a private mediator, or when parties fail to contact the Judge *Pro Tempore* within 14 days of receipt of the minute entry
  6. Agreement Between the Parties Pursuant to A.R.Civ.P. Rule 80(d) (if needed): Please fill in the appropriate information and have parties/counsel sign the form and send original to ADR for filing. JPT is requested to provide copies to counsel/parties.
  7. Notice of Settlement Conference Date and Order for Failing to Contact the Appointed Judge *Pro Tempore* (if needed): Please fill in the appropriate information, sign and date the bottom, and send to ADR for filing. Please mail copies to the parties. If you choose to use your own form or letter, please courtesy copy ADR. When sending these forms to ADR for filing, please note that the form is to be filed.
- **Case Files** - Case files may be checked out from Public Records (601 W. Jackson, Phoenix, Arizona) by the appointed Judge *Pro Tempore*. Judge *Pro Tempore* should present a copy of the ADR minute entry appointing them as the Judge *Pro Tempore*
- Upon conclusion of the settlement conference, the Judge *Pro Tempore* must ensure that the settlement conference report and certificate of pro tem hours form are mailed (use the pre-addressed stamped envelope provided), faxed, or delivered to ADR office

- **Processing of settlement conference reports**
  1. Upon receiving the completed report from JPT, ADR updates the court's database and ADR's records
  2. A copy of the report is sent to the assigned judge and the original is kept in the ADR office for one calendar year.
  3. The reports are also used to generate ADR's statistics.
  4. At the end of every quarter, ADR sends out a reminder, via mail or e-mail, to each JPT with a list of their pending cases in order to update our records. If a settlement conference is not held, please fill out the report form and mark "OTHER". Please write a brief note of what happened in the comment section. It is vital that each JPT return the report even if the settlement conference does not take place. This assures that our records and statistics are as accurate as possible
- **Evaluation Forms:** The evaluation forms filled out by the parties are tabulated in the ADR office upon receipt. All party information remains confidential. The comments are shared with the individual JPT at the end of the fiscal year.
- **Statistics**
  1. At the end of each fiscal year, ADR issues a statistical report to each JPT.
  2. The report includes a list of the JPT's cases with outcomes, a statistical breakdown of the settlement agreement rate, and evaluation comments.
  3. A separate report is sent to each Superior Court Judge with their individual information, as well as an overall report to Court Administration. JPT names are not listed with the case outcomes reported to the Judges or Court Administration.
- **Arbitration Exemption:  
Procedures For Request For Arbitration Exemption**
  1. Requirement: In order to get one exemption from appointment as an arbitrator, a civil settlement conference judge *pro tempore* (JPT) is required to serve and complete a minimum of four \*civil settlement conferences in a consecutive six-month period. **\*Settlement conferences conducted on or after February 21, 2005.**
  2. Any judge *pro tempore* who meets the qualifications and stipulations as set forth above is entitled to one "pass" as an arbitrator for the court after completion of the request for exemption. The request should be completed and submitted to the Court prior to appointment as arbitration judge.
  3. The pro bono work that qualifies the attorney for exemption must have been conducted on or before the appointment as arbitration judge.
  4. Completion of a request for exemption after being appointed as an arbitrator does not relieve the judge *pro tempore* from appointment; judge *pro tempore* will be given credit for the next appointment.
  5. ADR maintains a civil settlement conference database. Database includes JPT appointments and list of cases assigned to JPTs with dates and results of settlement conferences and status of cases assigned but no settlement conferences conducted due to case being dismissed, settled prior, private mediation, etc.
  6. ADR requests that JPTs or their assistants keep records of settlement conferences conducted. Subsequent sessions of settlement conferences conducted during the consecutive six-month period may also count for the number of settlement conferences conducted during that period.
  7. Once eligible, JPT should fill out a Request for Arbitration Exemption. Attach a list of settlement conferences, to include case numbers, captions, dates of

settlement conference, and results, to the request. Request for Arbitration Exemption form and blank list of civil settlement conferences conducted are available on: <http://www.superiorcourt.maricopa.gov/adr/>. Click on Judges *Pro Tempore* link.

8. Upon completion of documents above, send original to:

**Trial Courts of Arizona  
Office of Alternative Dispute Resolution  
201 W. Jefferson  
Phoenix AZ 85003**

9. Upon receipt of above documents, ADR will verify information provided and once verified and approved, documents will be forwarded to the Arbitration Desk for credit award. Once credit is awarded, ADR will send notification to the Judge *Pro Tempore* via mail or e-mail.

**NOTE: JPTs who serve as family court and civil settlement conference judges *pro tempore* may not combine civil and family court settlement conferences on the exemption request.**

SUPERIOR COURT OF ARIZONA  
MARICOPA COUNTY

**\*\*FILED\*\***  
12/14/2005  
Clerk of the Court

Emelda C. Dailey  
Deputy

ALTERNATIVE DISPUTE RESOLUTION OFFICE  
CIVIL SETTLEMENT CONFERENCE ORDER

12/14/2005

CV2005-091957

CONDUCT SC BY 3/31/2006

PLAINTIFF

Mott Equipment Rentals Inc , et.al.

11375 MARK W ARNETT  
STE 100  
4600 S MILL AVE  
TEMPE, AZ 85282-6759

V.

DEFENDANT

Lincoln General Ins Co, et.al.

9215 Steven G Mesaros  
PHELPS DODGE TOWER  
1 N CENTRAL AVE STE 900  
Phoenix, AZ 85004

**11447 LAURENCE J DERESPINO**  
**(602) 263-6977**  
Judge *Pro Tempore*

IT IS ORDERED that Judge Pro Tempore **LAURENCE J DERESPINO** is appointed to conduct a Settlement Conference and to enter stipulated orders in this matter, pursuant to Rule 16, A.R.C.P.

IT IS ORDERED that counsel (or parties if not represented) shall initiate a joint telephonic conference with Judge *Pro Tempore* **LAURENCE J DERESPINO** within ten (10) calendar days of receipt of this notice to arrange the time and location for this settlement conference. All parties and counsel (if parties are represented), **shall appear in person at the settlement conference**. All settlement conference participants should expect to attend this conference for at least two (2) hours and docket their calendars accordingly

IT IS FURTHER ORDERED that pursuant to Maricopa County Local Rule 3.11, each party shall furnish Judge *Pro Tempore* **LAURENCE J DERESPINO** with a separate Settlement Conference Memorandum at least seven (7) calendar days prior to the scheduled Settlement Conference. This memorandum **SHALL NOT** be filed with the Clerk of Court. Parties shall exchange the memoranda with each other, or with the consent of all parties, furnish the memoranda sealed to the Judge *Pro Tempore*.

SUPERIOR COURT OF ARIZONA  
MARICOPA COUNTY

**\*\*FILED\*\***  
12/14/2005  
Clerk of the Court

Emelda C. Dailey  
Deputy

**ALTERNATIVE DISPUTE RESOLUTION OFFICE  
CIVIL SETTLEMENT CONFERENCE ORDER**

12/14/2005

CV2005-091957

The Settlement Conference memorandum shall include the following information:

1. A general description of the issues in the lawsuit, and each party's position with respect to each issue;
2. A description of the evidence each party intends to present, with respect to each issue stated in item 1;
3. A summary all settlement negotiations that have previously occurred;
4. An assessment by each party of the anticipated result if the matter did proceed to trial; and
5. Any other information the party believes would be helpful to the settlement process.

IT IS FURTHER ORDERED that all motions to continue the scheduled Settlement Conference shall be brought before the assigned Judge *Pro Tempore* **LAURENCE J DERESPINO**, with a copy of the motion to be provided to the Alternative Dispute Resolution (ADR). If a continuance is granted, the requesting party shall provide a signed copy of the Order to ADR. Any other pre-trial motions shall be brought before the judge permanently assigned to the case.

IT IS FURTHER ORDERED that by this appointment, the Judge *Pro Tempore* becomes an extension of the court and therefore is entrusted with certain powers and duties. Any agreement the parties enter into, which is memorialized by the Judge *Pro Tempore*, shall be considered a binding agreement, in accordance with Rule 80 (d), A.R.C.P.

**Failure to comply with this Court Order may result in the imposition of court sanctions, pursuant to Rule 16 (f), A.R.C.P.**

# ARIZONA SUPERIOR COURT, MARICOPA COUNTY

**Case:** CV2004-017915

**Category:** 120 - Medical Malpractice    **Sub-Category:** 124 - Other    **Filed:** 9/16/2004

**Status:** 40 - Active Calendar  
Trial Set

**In the Matter of:**

Mary K Sullivan

RALPH J BLAKE  
1951 W CAMELBACK RD  
STE 110  
Phoenix, AZ 85015  
(602) 494-4800

**V.**

Kelvin S Crezee

BRUCE D CRAWFORD  
STE 101  
1920 E SOUTHERN AVE  
Tempe, AZ 85282

**Calendar:** CVJ06    **Bar ID:** 005253    **Judicial Officer:** Michael Jones    **Branch:** Northeast Facility

CASE NOTES				
9/16/2004	PODIATRIST (D P M)			Created by: Tina Hays
PARTIES				
1	Mary K Sullivan	PLA	Bar ID: 003029	RALPH J BLAKE 1951 W CAMELBACK RD STE 110 Phoenix, AZ 85015
2	Kelvin S Crezee	DEF	Bar ID: 009061	BRUCE D CRAWFORD STE 101 1920 E SOUTHERN AVE Tempe, AZ 85282
3	Kelvin S Crezee D P M	DEF	Bar ID: 009061	BRUCE D CRAWFORD STE 101 1920 E SOUTHERN AVE Tempe, AZ 85282
4	Camille Crezee	DEF	Bar ID: 000000	Pro Per
JUDGMENTS				



# ARIZONA SUPERIOR COURT, MARICOPA COUNTY

Case: CV2004-017915

CALENDAR EVENTS AND HEARINGS							
3/1/2006	9:30 AM	Days: 6	Hours: 0	Minutes: 0	CVJ06	Jones	Trial Jury
2/3/2006	11:00 AM	Days: 0	Hours: 1	Minutes: 0	CVJ06	Jones	Pre-Trial Conference Trial
10/5/2005					ADR04	ADR	Appointment
	(1) JPT RICHARD GOLDSMITH						
	Result Code: Minute Entry Issued						
3/7/2005					ADR04	ADR	Referred
2/28/2005					CVJ06	Baca	Memo Due Date
	(1) MATTER REFERRED TO ADR; SCF BY 01/31/06; PTMC SET 2/03/06 AT 11:00 (1 HR )JURY TRIAL SET						
	03/01/06 AT 9:30 (6 DAYS) (M/E 03/04/05)						
	(2) rcvd memo//to jb w/cc						
	Result Code: Trial Set						
2/23/2005					CVA01	Civil Court Adm 01	311 - Me: 150 Day Minute Entry
2/7/2005					CVJ06	Baca	Request Rule 16 Scheduling Con
	(1) MEMO DUE 2/28/05 (M/E 02/08/05)						
	(2) to jb w/cc						
	Result Code: Minute Entry Issued						
1/6/2005					CVA01	Civil Court Adm 01	Document Received Returned M
	(1) no new address given/to mail distribution/to file/lc						
12/22/2004					CVA01	Civil Court Adm 01	322 - Me:Notice Of Intent To Di
12/21/2004					CVA01	Civil Court Adm 01	Certificate Of Arbitration -
	(1) def agrees w/plntf/case is not subject to arb/lc						
11/18/2004					CVJ06	Baca	Tickler
	(1) ZACHAR IS ASSOC CNSL FOR PLTF						

# ARIZONA SUPERIOR COURT, MARICOPA COUNTY

Case: CV2004-017915

DOCKET EVENTS		
10/5/2005	070 - ME: Settlement Conference Set	The Court
9/1/2005	LOR - Location Reassignment	The Court
8/29/2005	LOR - Location Reassignment	The Court
3/7/2005	023 - ME: Order Entered By Court	The Court
3/7/2005	089 - ME: Trial Setting	The Court
3/4/2005	ORD - Order PRETRIAL	BRUCE D CRAWFORD
2/28/2005	STA - Statement JOINT ALTERNATIVE DISPUTE RESOLUTION	BRUCE D CRAWFORD
2/28/2005	MEM - Memorandum JOINT COMPREHENSIVE PRETRIAL CONFERENCE	BRUCE D CRAWFORD
2/23/2005	311 - ME: 150 Day Minute Entry	The Court
2/10/2005	023 - ME: Order Entered By Court	The Court
2/7/2005	REQ - Request FOR RULE 16 COMPREHENSIVE PRETRIAL CONFERENCE	Christopher J Zachar
1/4/2005	AFS - Affidavit Of Service CAMILLE CREZEE SERVED 12-12-2004	The Court
1/4/2005	AFS - Affidavit Of Service KELVIN S CREZEE DPM SERVED 12-12-2004	The Court
12/22/2004	322 - ME: Notice Of Intent To Dismiss	The Court
12/21/2004	ANS - Answer PAID	
12/21/2004	CCN - Cert Arbitration - Not Subject DEFENDANT'S	BRUCE D CRAWFORD
11/17/2004	NOT - Notice OF ASSOCIATION OF COUNSEL	
9/16/2004	COM - Complaint	RALPH J BLAKE
9/16/2004	CER - Certificate ARS 12-2602.01/	RALPH J BLAKE
9/16/2004	CCN - Cert Arbitration - Not Subject	RALPH J BLAKE



TRIAL COURTS OF ARIZONA  
**Superior Court • Municipal Courts • Justice Courts**  
In Maricopa County

Alternative Dispute Resolution

**Civil Settlement Conference Evaluation Form**

This information will be used to inform the court system and the judge *pro tempore* about your experience with the settlement conference. With your help, we can ensure that quality settlement conferences continue to be available on the Maricopa County Superior Court Service Provider Rosters. In accordance with ADR Superior Court policy, this information is confidential.

**Case Information**

Judge *Pro Tempore*: \_\_\_\_\_  
Please Print First & Last Name

Date of Settlement Conference: \_\_\_\_\_

In this case, I am the: \_\_\_\_ Plaintiff \_\_\_\_ Counsel for Plaintiff \_\_\_\_ Insurance Adjuster  
\_\_\_\_ Defendant \_\_\_\_ Counsel for Defendant \_\_\_\_ Other: \_\_\_\_\_

**Settlement Conference Evaluation**

Please tell us about your settlement conference by circling one response to each question below:

- |  |             |                 |             |
|--|-------------|-----------------|-------------|
| 1. What type of agreement was reached at the end of settlement conference? | <b>Full</b> | <b>Partial</b>  | <b>None</b> |
| 2. Was the settlement conference process helpful?                          | <b>Yes</b>  | <b>Somewhat</b> | <b>No</b>   |
| 3. Was the judge <i>pro tempore</i> neutral and impartial?                 | <b>Yes</b>  | <b>Somewhat</b> | <b>No</b>   |
| 4. Did you feel pressured to settle by the judge <i>pro tempore</i> ?      | <b>Yes</b>  | <b>Somewhat</b> | <b>No</b>   |

Please share your comments on the settlement conference process and the judge *pro tempore*:

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Please return to Maricopa County Superior Court by using the enclosed pre-stamped envelope.

**Trial Courts Of Arizona, Maricopa County**  
**Alternative Dispute Resolution**  
201 West Jefferson Street, CCB 3rd Floor  
Phoenix, AZ 85003-2205  
Office (602) 506-7884 Fax (602) 506-5836

## **CIVIL SETTLEMENT CONFERENCE REPORT**

Please complete this report, along with the certificate of pro bono hours, and return forms to ADR upon conclusion of settlement conference. Please address correspondence to the Civil Settlement Conference Program Administrator, using the above address and/or fax number.

**Judge Pro Tempore:** \_\_\_\_\_

**Referring Judge:** \_\_\_\_\_

**Case#:** \_\_\_\_\_

**Caption:** \_\_\_\_\_ v \_\_\_\_\_

**Date of Settlement Conference:** \_\_\_\_\_

**Please (4) the appropriate box below:**

**FULL SETTLEMENT** \_\_\_\_\_ **PARTIAL SETTLEMENT** \_\_\_\_\_ **NO SETTLEMENT** \_\_\_\_\_

**SETTLED PRIOR** \_\_\_\_\_ **OTHER (explain below)** \_\_\_\_\_

**PARTIES PARTICIPATED IN GOOD FAITH: YES** \_\_\_\_\_ **NO** \_\_\_\_\_

**PARTIES IN ATTENDANCE HAD AUTHORITY TO SETTLE:**  
**YES** \_\_\_\_\_ **NO** \_\_\_\_\_ **N/A** \_\_\_\_\_

**Remarks:**

**DATE:** \_\_\_\_\_

\_\_\_\_\_  
**JUDGE PRO TEMPORE**

TRIAL COURTS OF ARIZONA  
SUPERIOR COURT  
MARICOPA COUNTY

\_\_\_\_\_  
PLAINTIFF

Case Number: \_\_\_\_\_

Agreement Between the Parties  
Pursuant to A.R.Civ.P. Rule 80  
(D)

VS

\_\_\_\_\_  
DEFENDANT

☐ FULL SETTLEMENT  
☐ PARTIAL SETTLEMENT

This is the time set for the Settlement Conference held \_\_\_\_\_ before Judge *Pro Tempore* \_\_\_\_\_.

The assigned Judge on this case is \_\_\_\_\_

Attending this conference are:

☐ Plaintiff ☐ Plaintiff's Counsel ☐ Defendant ☐ Defendant's Counsel ☐ Interpreter  
☐ Other \_\_\_\_\_

The parties in this matter have completed the settlement conference and have reached the following agreement and shall be considered a binding agreement pursuant to Rule 80(d) of the Arizona Rules of Civil Procedure:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[illegible]

**PLAINTIFF(S):**

\_\_\_\_\_  
Plaintiff          Print Name

\_\_\_\_\_  
Plaintiff's Signature

\_\_\_\_\_  
Plaintiff          Print Name

\_\_\_\_\_  
Plaintiff's Signature

\_\_\_\_\_  
Plaintiff          Print Name

\_\_\_\_\_  
Plaintiff's Signature

\_\_\_\_\_  
Plaintiff          Print Name

\_\_\_\_\_  
Plaintiff's Signature

\_\_\_\_\_  
Counsel for Plaintiff      Print Name

\_\_\_\_\_  
Counsel for Plaintiff's Signature

\_\_\_\_\_  
Counsel for Plaintiff      Print Name

\_\_\_\_\_  
Counsel for Plaintiff's Signature

\_\_\_\_\_  
Counsel for Plaintiff      Print Name

\_\_\_\_\_  
Counsel for Plaintiff's Signature

\_\_\_\_\_  
Counsel for Plaintiff      Print Name

\_\_\_\_\_  
Counsel for Plaintiff's Signature

**DEFENDANT(S):**

\_\_\_\_\_  
Defendant          Print Name

\_\_\_\_\_  
Defendant's Signature

\_\_\_\_\_  
Defendant          Print Name

\_\_\_\_\_  
Defendant's Signature

\_\_\_\_\_  
Defendant          Print Name

\_\_\_\_\_  
Defendant's Signature

\_\_\_\_\_  
Defendant      Print Name

\_\_\_\_\_  
Defendant's Signature

\_\_\_\_\_  
Counsel for Defendant   Print Name

\_\_\_\_\_  
Counsel for Defendant's Signature

\_\_\_\_\_  
Counsel for Defendant   Print Name

\_\_\_\_\_  
Counsel for Defendant's Signature

\_\_\_\_\_  
Counsel for Defendant   Print Name

\_\_\_\_\_  
Counsel for Defendant's Signature

\_\_\_\_\_  
Counsel for Defendant   Print Name

\_\_\_\_\_  
Counsel for Defendant's Signature



**IN THE SUPERIOR COURT OF THE STATE OF ARIZONA  
IN AND FOR THE COUNTY OF MARICOPA**

Plaintiff,	
vs.	
Defendant	

Case No.: \_\_\_\_\_

**NOTICE OF SETTLEMENT  
CONFERENCE**

This case having been assigned to the undersigned for the purpose of holding a settlement conference,

IT IS HEREBY ORDERED that the settlement conference in the above-referenced matter is scheduled on \_\_\_\_\_, 20\_\_ at \_\_\_\_\_.  
The hearing is to be held at the following location:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**The Judge Pro Tempore shall receive settlement Conference Memoranda that comply with Rule 16.1(c), A.R.C.P., from each party no later than \_\_\_\_\_, 20\_\_.**

Dated this \_\_\_\_\_ day of \_\_\_\_\_,  
20\_\_.

\_\_\_\_\_  
*Judge Pro Tempore,*

**IN THE SUPERIOR COURT OF THE STATE OF ARIZONA  
IN AND FOR THE COUNTY OF MARICOPA**

\_\_\_\_\_,  
Plaintiff,  
vs.  
\_\_\_\_\_,  
Defendant

Case No.: CV \_\_\_\_\_

**ORDER REGARDING FAILURE TO  
CONTACT JUDGE *PRO TEMPORE* TO  
SCHEDULE SETTLEMENT  
CONFERENCE**

Pursuant to Court's Civil Division Settlement Conference Entry Order dated \_\_\_\_\_, 20\_\_\_\_, the parties were instructed to contact the assigned Judge *Pro Tempore* within ten (10) days of receipt of the order for the purposes of scheduling the settlement conference in the above-referenced matter. As of \_\_\_\_\_, 20\_\_\_\_, the parties have failed to contact the undersigned in order to schedule the court-ordered settlement conference.

**IT IS ORDERED** that the parties in the above-referenced matter must contact the assigned Judge *Pro Tempore* within seven (7) days of the filing of this order. If the parties fail to contact the assigned Judge *Pro Tempore* within seven (7) days, sanctions may be imposed and/or above-referenced matter will be sent back to assigned judge for further action(s).

Dated this \_\_\_\_\_ day of  
\_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Judge *Pro Tempore*,



TRIAL COURTS OF ARIZONA  
**Superior Court**  
in and for the County of Maricopa

**REQUEST FOR ARBITRATION EXEMPTION  
(CIVIL JUDGE *PRO TEMPORE*)**

REQUIREMENT: In order to get one exemption from appointment as an arbitrator, a civil settlement conference judge *pro tempore* is required to serve and complete **a minimum of four civil settlement conferences in a consecutive six-month period.**

Attorney \_\_\_\_\_ has served in the capacity of settlement conference judge *pro tempore* for conducting \_\_\_\_\_ settlement conferences in a consecutive six-month period beginning on \_\_\_\_\_ (month), 200\_.

\_\_\_\_\_  
Signature of Attorney/Bar #

\_\_\_\_\_  
DATE

\_\_\_\_\_  
Signature of ADR Staff

\_\_\_\_\_  
DATE

**NOTES:**

1. Any attorney who meets the qualifications and stipulations as set forth above is entitled to one "pass" as an arbitrator for the court after completion of the request for exemption. The request should be completed and submitted to the Court prior to appointment as arbitration judge.
2. The pro bono work that qualifies the attorney for exemption must have been conducted on or before the appointment as arbitration judge.

Please mail original request to: Trial Courts of Arizona  
Office of Alternative Dispute Resolution  
201 W. Jefferson  
Phoenix AZ 85003

TRIAL COURTS OF ARIZONA  
OFFICE OF ALTERNATIVE DISPUTE RESOLUTION

LIST OF CIVIL SETTLEMENT CONFERENCES CONDUCTED\*

JUDGE *PRO TEMPORE*: \_\_\_\_\_

CASE NUMBER	CAPTION	DATE OF SETTLEMENT CONFERENCE	RESULT

\*ATTACH THIS LIST TO REQUEST FOR ARBITRATION EXEMPTION

## **Settlement Conference Guide**

- What is a settlement. An agreement between parties that resolves some or all of the issues in litigation.
  - Settlement can
    - Be “full” or “partial”
    - Streamline issues that proceed to litigation
    - Allow stipulation of agreed upon facts
- The effective settlement negotiator must know how to discount litigation’s risks and rewards:
  - Know the facts, not necessarily completion of discovery
  - Know the applicable law
  - Communicate the range of probable outcomes
  - Rely on communication skills
- Remember: All cases settle at some point. If not in conference, there may be a good reason for proceeding to trial
- Why try to settle at a conference
  - Expense of litigation costs
  - Financial/emotional drain for parties
  - Time/difficulty collecting fees
  - Toll on the court system and taxpayer
- Settlement: Generally, most satisfying outcome
  - Based on what’s fair, not what parties are asking for
  - Parties have “day in court”
  - Attorneys can avoid complete loss for client
  - Judge gets satisfaction of helping parties reach agreement
- Justice is served
  - Settlements avoid extreme results
  - Provide positive satisfaction with court system
- Effective Settlement Conference Techniques
  - Use basic mediation techniques (Getting to Yes by Fisher & Ury)
  - Personalities impeding case resolution? Identify hidden emotional agendas
  - Use effective listening: Watch what is being communicated, not just what’s being said
  - Focus on “interest” not “positions”: What do parties really need to move on?

- Help parties find creative (non-monetary) alternatives: What can one party do for the other party more easily than that party can do for themselves?
- Maintain a rational, problem-solving focus for negotiations
- Judicial settlement conference techniques
  - Establish your authority/expertise
  - Set conference Ground Rules
  - Start with initial group meeting
  - Parties can consult with counsel
  - Explain caucusing
  - Set conference tone and style in introductory remarks. Project an image of experience, knowledge, fairness, and friendship
    - Relaxed, informal atmosphere
    - Set aside adversarial attitude/posturing
    - Invite parties to reason together to resolve differences
  - Be prepared: Read the file in advance
  - Allow brief statement by attorneys and/or parties
    - Identify the issues
    - Give case history on negotiations
    - State positions/why attorneys believe they're reasonable
  - Judicial analysis
    - Conduct candid discussion of strengths/weaknesses of each party's positions (in caucus)
    - Watch for clues in speech/body language
    - Use "active listening" skills
      - Parroting
      - Paraphrasing
      - Reflective listening
      - Brainstorm potential solutions
    - If caucus
      - Use reality testing
      - Avoid appearance of bias
      - Demonstrate an unreasonable position with role reversal
    - Negotiation. Try to move parties off positions and closer to common ground
      - Exert reciprocal pressure to settle--avoid coercion
      - Split the difference only when parties are close in terms; no reasonable distinction in positions
      - Offer additional conference time if needed
- What to do when parties settle: Always get agreements on the record with attorneys/parties present and their affirmation of settlement terms

## **Top Tips for Conducting Settlement Conferences**

1. The Judge should be proactive in trying to resolve the issues in the case.
2. Create an environment conducive to settlement. Set the tone to encourage compromise and conciliation.
3. Make an introductory statement:  
Explain the purpose of the conference:
  - To organize and clarify the issues for trial, settling issues that can be settled; issue any orders necessary to that end.
  - Let parties know that you understand the seriousness of the matter and the emotional issues they are facing.
  - Let parties know they don't have to settle; however, if they can work out their differences, it will save everyone significant time, frustration and expense.
  - Let parties know they have a right to trial, but sometimes the Judge makes a decision that no one likes. By working on a settlement, they can reach an agreement that meets their family's needs.
  - Encourage parties to be open about compromise. You are not the trial judge. Therefore, efforts at compromise will not be used against them at trial.
4. Be aware of the attorneys' need to preserve their relationship with their client. Some nice words about the lawyers in the presence of their clients will tend to reduce obstruction from counsel.
5. Recognize the attorneys' roles. Allow each attorney to make a brief "opening statement" regarding issues not yet resolved. Keep these statements to a minimum. Save the bulk of time for finding solutions.
6. Act as a sounding board for the issues. Parties and attorneys may be looking for feedback from the Judge. Be proactive and address the issues, making appropriate comment on the law as applied to these facts.
7. When parties begin by stating no agreement is possible, explore easy issues first to see if you can limit disagreements.
8. Think creatively. Create options or suggest alternatives that the attorneys may not have foreseen or could not suggest themselves.
9. Be a good listener. Identify and deal with emotional issues that may be impeding settlement.
10. Remain neutral even if you are inclined to side with one party
  - Avoid caucus or it could be construed as siding with one party
  - Avoid any appearance of favoring one side or one attorney. If you call one attorney by a first name, address the other attorney in the same manner.
  - Acknowledge aloud that each party's feelings are genuine about their positions, but your hope is to discover what they really need to move on and put this litigation behind them.
11. Complete unfinished discovery. If a party has not cooperated with discovery requests or not carried out pre-trial orders, issue orders to timely gain the information and include sanctions for non-compliance.



12. Keep control of the proceedings. Proceed methodically. Don't accept a statement that no settlement is possible. Your job is to explore.
13. Address topics one at a time. When possible, nail down agreements before going on to the next topic.
14. Start with easy things first, such as personal property, debts, who gets what car, etc. This helps gets people in the mood to settle.
15. Be a facilitator, not a bully. People are more satisfied when they think they have voluntarily come to their own decisions.
16. In most cases, one or two issues are important to each party. They are not always the same issues. Find them. They will negotiate everything else.
17. Compliment attorneys on the work they have done, but let parties know that even though these attorneys will work hard for them, by settling this case they will save significant attorneys' fees. Remind people of the benefits of settlement, in terms of money, time, and trauma.
18. Take charge when settlement is imminent on an issue. Do not let it slip away before you get both parties to commit.
19. In reaching settlement, you want to terminate all ties that you can, so that parties do not have to worry about ongoing contact (except with regard to children).
20. When telling a party that the court will not sustain their position, watch for their lawyer's reaction. If it is quiet and passive, it's probably reinforcing what the lawyer has already told the client.
21. Inform unreasonable people quickly if they will not be successful in court on a point.
22. Start by identifying areas of agreement. This is a good tactic to encourage further agreement. Help avoid distraction by areas of disagreement.
23. Think of contingencies for the future, such as parties moving out of state, visitation when children get older, etc.
24. If the case settles, swear both parties in, have both parties say that they understand and approve of the settlement terms and consider the terms fair and equitable. State which lawyer will prepare the decree, that any judge can sign the decree, and that objections to the form of decree, if any, will be heard by you.
  - Prepare a clear, detailed and complete settlement order
    - When dictating settlement terms, be specific to ensure that the agreement is clear and understandable.
    - If easier, dictate settlement terms as they are reached on each issue (although this may be difficult of parties revise terms).
25. Even if no settlement, encourage parties/attorneys to continue to negotiate. Seeds of settlement can be planted at the conference that result in subsequent agreements.

## **COMMUNICATION TECHNIQUES FOR SUCCESSFUL NEGOTIATIONS**

1. **Restatement** – The settlement judge listens to what has been said and repeats the content to the party in the party's own words.
2. **Paraphrase** – The settlement judge listens to what has been said and restates the content to the party using different words that have the same meaning as the original statement. This is often called *translation*.
3. **Active Listening** – The settlement judge decodes a spoken message and then feeds back to the speaker. This is commonly used in conciliation.
4. **Summarization** – The settlement judge condenses the message of a speaker.
5. **Expansion** – The settlement judge receives a message, expands and elaborates on it, states it back to the listener, and then checks to verify accurate perception.
6. **Ordering** – The settlement judge helps a speaker organize ideas into a sequence (historical, size, importance, amount, and so forth).
7. **Grouping** – The settlement judge helps a speaker identify common ideas or issues and combine them into logical units.
8. **Structuring** – The settlement judge assists a speaker to organize and arrange his or her thoughts and speech into a coherent message.
9. **Separation or Fractionating** – The settlement judge divides general points or principles in a speaker's component parts.
10. **Generalization** – The settlement judge identifies general points or principles in a speaker's presentation.
11. **Probing Questions** – The settlement judge asks questions to encourage a speaker to elaborate on an idea.
12. **Questions of Clarification** – The settlement judge asks questions to encourage the speaker to give further information about a point in question.

**The settlement judge can enhance communication between disputants by encouraging disputants to use communication skills, by teaching disputants how to use them, and by reinforcing their use by commending parties who utilize them.**

## **ESTABLISHING A POSITIVE EMOTIONAL CLIMATE**

In addition to facilitating communication, the settlement judge often must create an emotional climate conducive to clear communication and joint problem solving. Interventions related to promoting a positive emotional climate include:

- Preventing interruptions or verbal attacks.
- Encouraging parties to focus on the problem and not each other.
- Translating judgmental language of disputants into less emotionally charged terms.
- Affirming clear descriptions or statements, procedural suggestions, or gestures of good faith while not taking sides on substantive issues.
- Accepting the expression of feelings and being empathetic while not taking sides.
- Reminding parties about behavioral guidelines that they have established.
- Intervening to prevent conflict escalation.

**ARIZONA RULES OF CIVIL PROCEDURE**  
**RULE 16.1. SETTLEMENT CONFERENCES: OBJECTIVES**

(a) **Mandatory Settlement Conferences.** Except as to lower court appeals, medical malpractice cases, and cases subject to compulsory arbitration under A.R.S. § 12-133, in any action in which a motion to set and certificate of readiness is filed, the court, at the request of any party, shall, except for good cause shown, direct the parties, the attorneys for the parties and, if appropriate, representatives of the parties having authority to settle, to participate either in person or, with leave of court, by telephone, in a conference or conferences before trial for the purpose of facilitating settlement. Unless otherwise ordered by the court, all requests for settlement conferences shall be made not later than 60 days prior to trial. The court may also schedule a settlement conference upon its own motion.

In medical malpractice cases, the court shall conduct a mandatory settlement conference no earlier than four (4) months after the conduct of the comprehensive pretrial conference and no later than thirty (30) days before trial.

(b) **Scheduling and Planning.** The court shall enter an order that sets the date for the settlement conference, a deadline for furnishing settlement conference memoranda, and other matters appropriate in the circumstances of the case. An order setting a settlement conference shall not be modified except by leave of court upon a showing of good cause.

(c) **Settlement Conference Memoranda.** At least five (5) days prior to the settlement conference, each party shall furnish the court with a separate memorandum. In non-medical malpractice cases, the memorandum shall not be filed with the clerk of the court, and the parties shall furnish the memoranda sealed to the division assigned to the case. In medical malpractice cases, the settlement conference memoranda shall be filed and exchanged. Each memorandum shall address the following:

(1) a general description of the issues in the lawsuit, and the positions of each party with respect to each issue;

(2) a general description of the evidence that will be presented by each side with respect to each issue;

(3) a summary of the settlement negotiations that have previously occurred;

(4) an assessment by each party of the anticipated result if the matter did proceed to trial; and

(5) any other information each party believes will be helpful to the settlement process.

No part of any settlement conference memorandum shall be admissible at trial.

(d) Attendance: Settlement conferences shall be attended by all of the parties to the litigation and their counsel unless specifically excused for good cause by the court. In addition, the defendants shall have a representative present with actual authority to enter into a binding settlement agreement. All participants shall appear in person except pursuant to stipulation of the parties or order of the court.

(e) Confidentiality. The court shall order that discussions in settlement conferences shall be confidential among the parties, their counsel, and the court.

(f) Discretion to Transfer. The court, upon its own motion, or upon the motion of a party, may transfer the settlement conference to another division of the court, willing to conduct the settlement conference.

(g) *Ex Parte* Communications. At any settlement conference conducted pursuant to this Rule, the court, with the consent of all those participating in the conference, may engage in *ex parte* communications if the court determines that will facilitate the settlement of the case.

(h) Sanctions. The provisions of Rule 16(f) of these Rules concerning sanctions shall apply to a conference provided for by this rule.

**Added Oct. 10, 2000, effective Dec. 1, 2000.**

State Bar Committee Note  
2000 Amendment

As part of the effort to consolidate formerly separate sets of procedural rules into either the Arizona Rules of Civil Procedure or the Rules of the Arizona Supreme Court, certain provisions of the former Uniform Rules of Practice of the Superior Court and of the former Uniform Rules of Practice for Medical Malpractice Cases which dealt with the subject of settlement conferences were combined into a new Rule 16.1 dealing with that subject generally. The provisions of subparts (a), (b), (c), (f), and (h) of this new Rule are taken largely from former Rule VI(e) of the Uniform Rules of Practice of the Superior Court; the provisions of subparts (d), (e), and (g) are taken from former Rule 2 of the Uniform Rules of Practice for Medical Malpractice Cases.

The provision making the conduct of a settlement conference mandatory in all medical malpractice cases are retained; in all other cases, a settlement conference may be set either at the request of any party or by the court, on its own motion. The new Rule also preserves the differing practice concerning the exchange of settlement conference memoranda. In medical malpractice cases, such memoranda are to be filed and exchanged; in other cases, they are not filed but are furnished under seal to the division to which the case is assigned.

In a Comment to the original Uniform Rules of Practice for Medical Malpractice Cases, which was effective January 1, 1990 and was amended effective July 1, 1992, the special Committee stated the following concerning the provisions of rule 2 [now part of Rule 16.1]:

"The committee recognizes that certain professional liability insurance policies require the consent of the insured before an insurer can settle a claim. All parties are encouraged to set forth in detail, orally or in writing, the basis of their positions with respect to their willingness to compromise disputed claims. A party who refuses to settle because that party insists on the right to trial cannot be found to have failed to comply with the provisions of this rule."

**AMENDED RULE 16(g), ARIZONA RULES OF CIVIL PROCEDURE**  
**EFFECTIVE DECEMBER 1, 2001**  
**(APPLICABLE TO ALL CASES FILED AFTER DECEMBER 1, 2001)**  
(Changes or additions in text are indicated by underlining)

RULE 16(g), RULES OF CIVIL PROCEDURE

Rule 16(g) Alternative Dispute Resolution

(1) Upon motion of any party, or upon its own initiative after consultation with the parties, the court may direct the parties in any action to submit the dispute which is the subject matter of the action to an alternative dispute resolution program created or authorized by appropriate local court rules.

(2) The Parties' Duty to Consider ADR, and to Confer and Report.

(A) No later than 90 days following the first appearance of a defendant, the parties shall confer, either in person or by telephone, about:

(1) the possibilities for a prompt settlement or resolution of the case; and

(2) whether they might benefit from participating in some alternative dispute resolution ("ADR") process that would be most appropriate in their case, the selection of an ADR service provider and the scheduling of the proceedings;

(B) The attorneys of record and all unrepresented parties who have appeared in the case are jointly responsible for attempting in good faith to settle the case or agree on an ADR process and for reporting the outcome of their conference to the court. Within 30 days after their conference, the parties shall inform the court by means of a text prescribed in an official form promulgated pursuant to Rule 84 of the following:

(1) if the parties have agreed to use a specific ADR process, the type of ADR process to be used, the name and address of the ADR service provider they will use and the date by which the ADR proceedings will be completed;

(2) if the parties have not agreed to use a specific ADR process, the position of each party as the type of ADR process that is appropriate for their circumstances or, in the alternative, why ADR is not appropriate; and

(3) whether any party requests that the court conduct a conference to consider ADR.

(C) Unless the parties have agreed to use a specific ADR process, the court may direct the parties, the attorneys for the parties and, if appropriate, representatives of the parties having authority to settle, to discuss with a court-appointed ADR specialist, either in person or by telephone, whether ADR is appropriate and the types of ADR processes that might benefit their cases.

Comment to 2001 Amendment to Rule 16(g)

Parties are cautioned that the 2001 amendment to Rule 16(g) must be read in light of *Martinez v Binsfield*, 196 Ariz. 466 (2000), which held that Uniform Rule V(e) [now Rule 38.1(d)] applies to cases assigned to mandatory arbitration, and repeated continuances by the arbitrator in connection with mandatory arbitration did not provide good cause for continuing the case on the Inactive Calendar.